



DIVISION of STATE HISTORY

**UTAH**

STATE HISTORICAL SOCIETY

# Basic Guidelines for Oral History Grants

A Collaboration of the

Utah Humanities Council and the Utah Division of State History

*NOTE: These guidelines are updated occasionally as part of UHC/UDSH's ongoing evaluation of its grant program. Please check either organization's website to make sure you have the most up-to-date version. This set of guidelines was updated **22 November 2006***

## AT A GLANCE

- Grants provide up to \$3,000 for oral history research and transcription costs.
- Currently, there are no deadlines for oral history grant requests of any amount.
- Deadlines are subject to change.
- This program is funded and administered jointly by the Utah Division of State History and the Utah Humanities Council.

### A New Collaboration

For several years, both the Utah Division of State History (UDSH) and the Utah Humanities Council (UHC) offered grants to educational institutions and nonprofit organizations for oral history projects. During this time, some projects received funding from both organizations, while other worthy projects were not funded at all. Applicants also had to figure out two different sets of guidelines and application procedures and two separate administrative and reporting processes. UDSH and UHC wanted to simplify the process for applicants and work together to ensure that the limited funds available will be used to best advantage. Funds for Oral History Grants are made possible through state appropriations and a special *We The People* appropriation from Congress to the National Endowment for the Humanities.

### Purpose

The primary purpose of the collaborative UDSH/UHC Oral History Program is to collect and transcribe oral histories, deposit transcripts and tapes with the Utah State Historical Society Library and other public deposition sites (such as local libraries), and make the content of the collected oral histories available to the general public through a live public program. While the program's primary purpose is not to provide research material for scholarly publication, exhibits, or similar projects, scholars involved in an oral history project who wish to delay depositing the material collected as part of a UDSH/UHC grant in order to publish it must provide—as part of the grant application—a reasonable timetable for collecting and depositing the material. Such information will be considered when the application is reviewed.

Any arrangements for restricted deposition of oral history tapes and transcripts must be made at the outset of a funded oral history project. For more information, please contact Kent Powell at UDSH (801-533-3520; [kpowell@utah.gov](mailto:kpowell@utah.gov)). *Final grant payment will be withheld until transcripts and tapes have been mailed to UHC and they have been reviewed by UHC and UDSH staff. Deposition of the tapes and transcripts in the Utah State Historical Society Library will be done by UHC and UDSH staff.*

### Eligibility

Oral History Grants are open to organizations, including, but not limited to:

- \$ historical societies
- \$ museums
- \$ government agencies
- \$ colleges and universities
- \$ tribes
- \$ statewide heritage organizations
- \$ other nonprofit and ad hoc organizations engaged in oral history research

## **Criteria**

- Oral History Grants are not made to individuals.
- Grants are intended to fund one-time projects that are innovative, focused, well-defined, and of benefit to the local community.
- Products of projects supported by Oral History Grant funds must be made available to the public. An easy way to do this is to deposit a copy of the transcribed oral history interview and any other written products from the interview in a local public library.
- Successful applicants must host at least one live public program that showcases the stories collected as part of an Oral History Grant and allows for public discussion about those stories.
- Copies of all tapes and transcripts of interviews must also be mailed to UHC. **The grant file for an oral history project that receives UDSH/UHC funds will not be closed, and final payment will not be made, until tapes and transcripts have mailed to UHC and UHC/UDSH staff have reviewed and deposited them in the Utah State Historical Society Library, or until a restricted deposition has been made to Kent Powell of UDSH.**
- Oral history projects funded by UDSH and UHC must enlist the participation of a scholar trained in the methods and techniques of oral history. Personnel in the Public History section of UDSH may fill this role. Training in oral history techniques and standards for both the project interviewer and transcriber must be secured through UDSH or a comparable institution before funds will be released. UDSH and UHC will sponsor two workshops each year—one in the fall and one in the spring—to orient grantees to oral history standards and practices.
- Requests to UDSH/UHC to fund international travel or the purchase of equipment tend not to be competitive.

## **Oral History Standards**

All oral history projects funded through this collaboration must conform to the principles and standards outlined by the Oral History Association (OHA). These principles and standards can be found on the internet at [http://www.dickinson.edu/oha/pub\\_eg.html](http://www.dickinson.edu/oha/pub_eg.html). Some of these principles and standards are:

- Interviewees must be informed of the purposes and procedures of oral history, as well as the aims and anticipated uses of the projects to which they are contributing (including how the information will be edited and disseminated).
- Interviewees must be informed that they will be asked to sign a legal release and their interviews must remain confidential until they have given permission for their use.
- Interviewers should guard against making promises to interviewees that the interviewers may not be able to fulfill, such as guarantees of publication and control over the use of interviews after they have been made public.
- Interviewers should guard against possible exploitation of interviewees and be sensitive to the ways in which their interviews might be used.
- Interviewers must respect the rights of interviewees to refuse to discuss certain subjects, to restrict access to the interview, or, under extreme circumstances, even to choose anonymity.
- Interviewers should work to achieve a balance between the objectives of the project and the perspectives of the interviewees, and should be sensitive to the diversity of social and cultural experiences and to the implications of race, gender, class, ethnicity, age, religion, and sexual orientation.
- Interviewers should encourage interviewees to respond in their own style and language and to address issues that reflect their concerns.
- Oral historians have a responsibility to maintain the highest professional standards in the conduct of their work and to uphold the standards of the various disciplines and professions with which they are affiliated.
- In recognition of the importance of oral history to an understanding of the past and of the cost and effort involved, interviewers and interviewees should mutually strive to record candid information of lasting value and to make that information accessible..

UDSH also sponsors regular "How To" oral history workshops. Please contact Kent Powell (801-533-3520; [kpowell@utah.gov](mailto:kpowell@utah.gov)) or consult [history.utah.gov/history\\_programs/oral\\_history/meetingsandevents.html](http://history.utah.gov/history_programs/oral_history/meetingsandevents.html) for more information.

## **Grant Period**

Grants must be completed within a twelve-month period.

## **Deadlines and Grant Amounts**

There is no deadline for funding requests up to the maximum of \$3,000 and awards are made on a rolling basis. The oral history grant committee meets a minimum of four (4) times a year, and applications may be submitted at any time. A maximum of \$3,000 per organization may be awarded per year. Please note that deadlines are subject to change.

### **Matching Funds**

All Oral History Grants require 1:1 match. This requirement may be satisfied either through matching cash funds from the applicant or the applicant's partnering organizations, or through in-kind donations (including donated goods, services, or labor). Grantees must provide documentation for all expenditures and for in-kind goods and services.

### **Accountability and Reporting**

Successful applicants will sign a grant agreement detailing their responsibilities. All grant agreements require compliance with federal and state fiscal and reporting standards. Grantees must maintain documentation of the expenditure of UDSH and UHC funds and of both cash and in-kind matching contributions. Records must be available for federal, state, or UDSH/UHC audit for three years following submission of final reports.

### **Required Products of UHC/UDSH Grant Projects**

Grantees must submit the following as a package in order to complete their grant:

- Tapes of all oral history interviews done as part of the funded project
- Permission/release forms for each person interviewed
- Transcribed hard copies of each interview (may not be synopses of interviews)
- CD with all transcripts in PDF (if possible) or Microsoft Word format
- Photograph of informant (if possible)
- Required reporting paperwork sent as part of the grant award packet. Please contact Maria Torres at 801-359-9670 (ext. 105) with questions about this requirement)

### **Public Program Requirement**

Successful applicants must also host at least one live public program that showcases the stories collected as part of an Oral History Grant and allows for public discussion about those stories. One way to do this might be to organize an "oral history night" in your community that brings together all or some of the people who contributed their stories to your project and members of the wider public. Other formats may also work, as long as they allow the public to hear and discuss the product of your oral history project.

### **Frequently Asked Questions**

1) *What general advice do UDSH and UHC have for completing the final application?*

Grantwriting is a competitive process. The grant review committee may decide to fund a proposal fully, to offer a reduced amount, to fund subject to the fulfillment of certain conditions, or to reject an application. Following the suggestions below won't necessarily guarantee your project will be funded, but they may help you improve your chances:

- Read and follow guidelines carefully. Use appropriate formats. Use required forms and follow written instructions. Meet deadlines. Be concise. Remember that an application that does not follow the guidelines may simply be discarded. Give your project the best chance of being funded by following the rules.
- Finalize all project details and obtain commitments from key personnel and program hosts before submitting your final application. Open-ended applications without finalized details may not be funded.
- Have someone not associated with the project proofread your application and give you suggestions before submitting it.
- A sloppy application makes a poor impression. Double-check your budget figures. Avoid jargon. Proofread carefully.
- Be persuasive without pleading. Inform and motivate the grant review committee without being demanding. Your grant application should be able to stand on its merits. Emphasize opportunities rather than problems.

2) *Will a good track record of using UDSH and UHC funds well in the past help me get a grant this time?*

UDSH and UHC will consider whether previous grants to the applicant have met their expectations, but a good track record is not a guarantee of future funding.

3) *What are my responsibilities if my Oral History Grant application is approved?*

The program coordinator's signature on the application form indicates that you agree to:

- submit a written final report, as well as the required evaluation forms, at the project's conclusion
- submit a financial report, including auditable records of grant funds and matching contributions
- notify Brandon Johnson at UHC immediately of any change in the schedule or scope of your project

- credit the Utah Division of State History and the Utah Humanities Council in all publicity and printed materials, and verbally at events
  - mail copies of all tapes and transcripts completed during the grant period to UHC. In turn, UHC will deposit the tapes and transcripts in the Utah State Historical Society Library
  - make the products of your oral history project available to the public and conduct at least one live public program that showcases the stories collected as part of your grant (see above for advice)
  - comply with government non-discrimination and debarment statutes (see document *Federal Statutes that Apply to Organizational Grant Applicants*)
- 4) *Do UHC and UDSH offer help with the application process?*  
UHC and UDSH staff members are happy to advise you on completing the Oral History Grant application and to help you troubleshoot obstacles you may encounter.
- 5) *Where do I send my application?*  
All oral history grant paperwork, including applications, must be submitted to the following address:

Utah Humanities Council  
Attn: Oral History Program  
202 West 300 North  
Salt Lake City, UT 84103

For more information about the oral history program, please contact:

Brandon Johnson  
Program Officer  
Utah Humanities Council  
801-359-9670  
[johnson@utahhumanities.org](mailto:johnson@utahhumanities.org)

OR

Kent Powell  
History Programs Manager  
Utah Division of State History  
801-533-3520  
[kpowell@utah.gov](mailto:kpowell@utah.gov)

#### **NOTE**

The following language must be used on all materials publicizing or resulting from grant activities:

*Any views, findings, conclusions or recommendations expressed in this publication/program/exhibition/website do not necessarily represent those of the National Endowment for the Humanities.*

## **FEDERAL STATUTES THAT APPLY TO ORGANIZATIONAL GRANT APPLICANTS**

**All applicants for competitive grants to nonprofit organizations must certify that they and the project sponsors are in compliance with federal statutes.**

Applicants certify that they are not presently debarred, suspended, or otherwise excluded from or ineligible for participation in federal assistance programs, and that no persons shall be excluded from participation in the proposed project on grounds of race, color, creed, sex, national origin, handicap, or age.

The project director, the fiscal agent, and the authorized institutional agent must sign the application cover sheet, which certifies their agreement to comply with federal statutes as detailed on this page. If approved, the signed application form becomes part of the UHC grant agreement. Applicants must agree to remain in compliance with these statutes for the duration of the grant period and to provide immediate written notice to UHC if the certification is in error or if changing circumstances make it no longer accurate.

This page summarizes federal requirements. More detailed language or explanations may be requested from UHC.

### **CERTIFICATION REGARDING CIVIL RIGHTS STATUTES**

Civil rights statutes prohibit discrimination against an otherwise qualified person on grounds of race, color, national origin, gender, age, or handicap. The applicant certifies that it will comply with the following non-discrimination statutes and their implementing regulations:

- a) Title VI of the Civil Rights Act of 1964 (42 U.S.C. 2000d et. seq.), which provides that no person in the United States shall, on the ground of race, color, or national origin, be excluded from participation in, be denied the benefits of, or be otherwise subjected to discrimination under any program or activity for which the applicant received federal financial assistance;
- b) Section 504 of the Rehabilitation Act of 1973, as amended (29 U.S.C. 794), which prohibits discrimination on the basis of handicap in programs and activities receiving federal financial assistance;
- c) Title IX of the Education Amendments of 1972, as amended (20 U.S.C. 1681 et seq.), which prohibits discrimination on the basis of sex in education programs and activities receiving federal financial assistance;
- d) the Age Discrimination Act of 1975, as amended (42 U.S.C. 6101 et seq.) which prohibits discrimination on the basis of age in programs and activities receiving federal financial assistance, except that actions which reasonably take age into account as a factor necessary for the normal operation or achievement of any statutory objective of the project or activity shall not violate this statute. **Debarment and suspension statutes** prohibit awarding UHC grant funds to organizations (or their principals) barred from receiving any federal funds because of violations of labor standards provisions or antitrust laws, or because of (within the preceding three years) conviction or criminal or civil charges of fraud, theft, embezzlement, forgery, bribery, falsification or destruction of records, making false statements, or receiving stolen property, or termination for cause or default of any public transaction.

### **CERTIFICATION REGARDING DEBARMENT, SUSPENSION, INELIGIBILITY, AND VOLUNTARY EXCLUSION**

The prospective lower tier participant [applicant] certifies, by submission of this proposal, that neither it nor its principals is presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from participation in this transaction by any federal department or agency.

Where the prospective lower tier participant [applicant] is unable to certify to any of the statements in the certification, such prospective participant shall attach an explanation to this proposal.